



April 5, 2023

Grace J. Posey, Esq.
Maynard Cooper Gale
1901 Sixth Avenue North, Suite 1700
Birmingham, AL 35203-2618

VIA EMAIL

Re: ANTHONY MESQUIT, CRD# 5210309 & PETER SULLIVAN, CRD# 5270754
FINRA Arbitration Case #: 19-02624
Forrest W. Sweat, Jr., et al. vs. Fidelity Brokerage Services LLC, et al.

Dear Ms. Posey:

FINRA has reviewed, and determined to grant, your request for a waiver of the obligation under FINRA Rule 2080 to name FINRA as a party in any action to confirm the award issued in the above-captioned proceeding. The award directs the expungement of customer dispute information from the Central Registration Depository (CRD®) system. FINRA notes that the arbitration award reflects compliance with FINRA's Code of Arbitration Procedure for Customer Disputes § 12805 or Code of Arbitration Procedure for Industry Disputes § 13805. In addition, it includes an affirmative finding that the expungement directive is based on one or more standards enumerated in FINRA Rule 2080. Specifically, the expungement directive is based on one or more of the following affirmative arbitral finding(s):

- ☐ the claim, allegation, or information is factually impossible or clearly erroneous
- ☒ the above-named individual was not involved in the alleged investment-related sales practice violation, forgery, theft, misappropriation, or conversion of funds
- ☒ the claim, allegation, or information is false

Therefore, you are not required to name FINRA as a party in the judicial proceeding to confirm the arbitration award. If, however, you do name FINRA as a party, this waiver does not serve as a waiver of FINRA's appearance in the court proceeding and you must serve FINRA with process and notice of all court filings.

If you have any questions, please contact me at 240-386-4788.

Sincerely,

Karen Weinstein

Karen Weinstein, Analyst
Credentialing, Registration, Education and Disclosure
Operations Policy Implementation